

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Atty. Docket: SPEN-03C

Applicants: Paul A. Spence and Mark Ortiz

Title: HEART VALVE REPAIR APPARATUS AND METHODS

CERTIFICATE OF MAILING BY EXPRESS MAIL - 37 CFR 1.10

'Express Mail' mailing label number: EV355034347US

Date of Deposit: October 28, 2003

I certify that this paper or fee (along with the enclosures noted herein) is being deposited with the United States Postal Service 'Express Mail Post Office to Addressee' service under 37 CFR 1.10 on the above date and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By: Kenneth Eads (person mailing paper)

16834 U.S. PTO
10/695380
102803

UTILITY PATENT APPLICATION TRANSMITTAL

*Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450*

This is a request for filing, under 37 CFR § 1.53(b), a(n):

- ☐ Original (non-provisional) application.
- ☒ **Divisional of prior application Serial No. 10/268,028, filed on October 9, 2002 (now pending) which is a division of application Serial No. 09/496,450, filed on February 2, 2000 (now abandoned).**
- ☐ Continuation of prior application Serial No. __, filed on __.
- ☐ Continuation-in-part of prior application Serial No. __, filed on __.

For Divisional and Continuation applications ONLY:

- ☒ **Copy of Executed Declaration, Power of Attorney and Petition Form from parent application is enclosed (as noted below in Enclosures).**
- ☒ **Incorporation by Reference: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied herewith, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.**

For all Divisional, Continuation and Continuation-in-part applications:

- ☐ Small Entity Status was requested in the prior application, and small entity status is still proper and desired.
- ☒ **This application is assigned to Paul A. Spence of 5818 Orion Road, Louisville, Kentucky 40222 by virtue of an earlier assignment filed in the prior application at Reel 10744, Frame 357-358.**

PRELIMINARY AMENDMENT/CALCULATION OF FEES

- ☐ Please cancel claims __ without prejudice, and prior to calculating the fees. __ total claim(s), of which __ is(are) independent, is(are) pending after the amendment.
- ☐ Please enter the enclosed preliminary amendment identified below prior to calculating the fees. __ total claim(s), of which __ is(are) independent, is(are) pending after the amendment.
- ☒ **Small Entity Status is Requested**
- ☒ **The Fees are Calculated as Follows:**

Fee:	Number of Claims:	In Excess of:	Extra:	At Rate:	Amount:
Total Claims	6	20	0	\$18	\$0.00
Independent Claims	3	3	0	\$86	\$0.00
MULTIPLE DEPENDENT CLAIM FEE					
BASIC FEE					\$770.00
TOTAL OF ABOVE CALCULATIONS					\$770.00
REDUCTION BY 50% FOR FILING BY SMALL ENTITY					\$385.00
TOTAL					\$385.00

ENCLOSURES

- ☒ **Utility Patent Application Transmittal Form (in duplicate) containing Certificate of Mailing By Express Mail Under 37 CFR 1.10.**
- ☒ **Return Postcard.**

APPLICATION PAPERS

- ☒ **Utility Patent Application, with: cover sheet, 34 page(s) specification (including 6 total claim(s), of which 3 is(are) independent, and 1 page(s) abstract).**
- ☒ **Drawings: 12 sheet(s) of formal drawings (36 total figure(s)).**
- ☐ Microfiche Computer Program (Appendix).
- ☐ Nucleotide and/or Amino Acid Sequence, including (all are necessary): Computer Readable Copy, Paper Copy (identical to computer copy), and Statement verifying identity of copies.
- ☐ An __ Declaration, Power of Attorney and Petition Form.
- ☒ **Copy of Executed Declaration, Power of Attorney and Petition Form from prior application identified above.**
- ☐ Certified Copy of priority document(s) identified as attached above.

ADDITIONAL PAPERS

- ☐ Assignment to __, Recordation Cover Sheet (Form PTO-1595)
- ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i)
- ☐ Preliminary Amendment (to be entered prior to calculation of fees)
- ☒ **Information Disclosure Statement, 4 sheet(s) Form PTO-1449.**
- ☐ Other: __

CHECKS

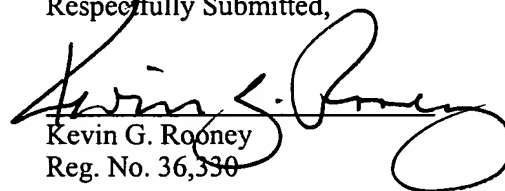
- ☒ A Check of \$385.00 for the filing fee.
☐ A Check of for the assignment recording fee.

DEPOSIT ACCOUNT AUTHORIZATION

- ☐ Please charge Deposit Account No. 23-3000 in the amount of .
☒ **The Commissioner is authorized to charge any fees under 37 CFR 1.16 and 1.17 which may be required during the entire pendency of the application, or credit any overpayment, to Deposit Account No. 23-3000. A duplicate of this transmittal is attached.**
☐ THE PAYMENT OF FEES IS BEING DEFERRED.
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KGR/msh

Respectfully Submitted,


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